

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re of Application of: Paulsen, et al. #4
Serial No.: 10/027,923 Group Art No.:
Filed: December 21, 2001 Examiner:
For: NOVEL GLUTAMATE RECEPTOR MODULATORY PROTEINS
AND NUCLEIC ACID MOLECULES AND USES THEREFOR
Confirmation:
Customer Number: 25291

Commissioner for Patents
Box DD
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

1. Preliminary Statements

In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

CERTIFICATE OF MAILING 37 CFR §1.10

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date written below in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number ET814782556US addressed to the Commissioner for Patents, Box DD, Washington, DC 20231.

April 9, 2002
Date

Elizabeth Backer Melick
Elizabeth Backer Melick

04/11/2002 YPOLITE1 00000053 011425 10027927

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2. Identification of Time of Filing

This Information Disclosure Statement

- a. ☐ is filed within three months of the filing date of the application.
- b. ☒ is filed before the mailing date of a first Office Action on the merits.
- c. ☐ is filed before the mailing date of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- d. ☐ is filed after the period specified in 2(a), 2(b) or 2(c) above, but before the mailing date of a final action under 37 CFR 1.311. This statement includes a certification under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p).
- e. ☐ is filed after the mailing date of a final action or Notice of Allowance but before payment of the issue fee. This statement includes (i) a certification under 37 CFR 1.97(e), and (ii) the fee set forth in 37 CFR 1.17(p).

3. ☒ Certification under 37 CFR 1.97(e)
The undersigned attorney certifies

- a. ☐ that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or
- b. ☒ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.
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☒ Newly Cited Information
A legible copy of the patents, publications or other information cited on the attached form PTO 1449 is enclosed, except that no copy of a pending U.S. application is enclosed.

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No copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed because it has been previously cited by or submitted to the Office in a prior application which is relied upon for an earlier filing date under 35 USC 120.

Prior application is Serial Number , filed on of for .

Substitute for form 144B/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/027,923
Filing Date	December 21, 2001
First Named Inventor	Brian G. Bates
Group Art Unit	
Examiner Name	
Attorney Docket Number	AM100369

Sheet

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PATENT & TRADEMARK OFFICE

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number (If known)	Kind Code (If Known)			
	1.	5,521,297		Daggett, et al.	05-01-1996	
	2.	5,869,609		Mulvihill, et al.	02-01-1999	
	3.	6,001,581		Johnson, et al	12-01-1999	
	4.	6,211,353 B1		Burnett, Jr. et al	04-01-2001	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (If Known)				
	5.							<input type="checkbox"/>

OTHER PRIOR ART — NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	6.	Millar, J.K. et al. "Disruption of two novel genes by a translocation co-segregating with schizophrenia" <i>Hum. Mol. Genet.</i> 9(9): 1415-1423 (2000 May 22);	<input type="checkbox"/>
	7.	Minakami, R. et al. "A variant of metabotropic glutamate receptor subtype 5: an evolutionally conserved insertion with no termination codon" <i>Biochem. Biophys. Res. Commun.</i> 194(2):622-627 (1993 Jul 30);	<input type="checkbox"/>
	8.	St. Clair, D. et al. "Association within a family of a balanced autosomal translocation with major mental illness" <i>Lancet</i> 336(8706):13-16 (1990 Jul 7);	<input type="checkbox"/>
	9.	Yoshikawa, T. et al. "Isolation of a cDNA for a novel human RING finger protein gene, RNF18, by the virtual transcribed sequence (VTS) approach(1)" <i>Biochim. Biophys. Acta</i> 1493(3):349-355 (2000 Oct 2);	<input type="checkbox"/>
	10.	GenBank Accession No. AQ313970 "RPCI11-103J21.TV RPCI-11 Homo sapiens genomic clone RPCI-11-103J21, genomic survey sequence" (04-May-1999);	<input type="checkbox"/>
	11.	GenBank Accession No. G56623 "SHGC-102020 Human Homo Sapiens STS genomic, sequence tagged site" (30-Mar-2000);	<input type="checkbox"/>
	12.	GenBank Accession No. B65629 "CIT-HSP-2022I14. TR CIT-HSP Homo sapiens genomic clone 2022I14, genomic survey sequence" (21-Jun-1998);	<input type="checkbox"/>
	13.	GenBank Accession No. B16405 "342C10. TVB CIT978SKA1 Homo sapiens genomic clone A-342C10, genomic survey sequence" (04-Jun-1998);	<input type="checkbox"/>
	14.	GenBank Accession No. B03872 "cSRL-19b6-u cSRL flow sorted Chromosome 11 specific cosmid Homo sapiens genomic clone cSRL-19b6, genomic survey sequence" (13-Jul-1996);	<input type="checkbox"/>
	15.	GenBank Accession No. AQ443358 "HS_2231_B2_G10_MF CIT Approved Human Genomic Sperm Library D Homo sapiens genomic clone Plate=2231 Col=20 Row=N, genomic survey sequence" (31-Mar-1999);	<input type="checkbox"/>
	16.	GenBank Accession No. AQ586224 "RPCI-11-459A18. TV RPCI-11 Homo sapiens genomic clone RPCI-11-459A18, genomic survey sequence" (07-Jun-1999).	<input type="checkbox"/>

Examiner
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

- ☐ Concise Explanation
Documents cited above which are not in the English Language
- a. ☐ have been explained in the specification.
- b. ☐ have an abstract (or other concise explanation) in English enclosed or if readily available a translation into English of the document is enclosed.

Form PTO-1449 is enclosed in duplicate.

- ☒ Fees
☒ Fee for filing under 37 CFR 1.97(c) or (d) Fee: \$180.00

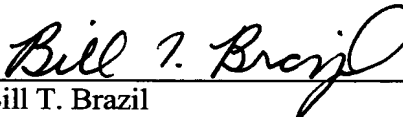
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A duplicate of this statement is enclosed.

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Bill T. Brazil
Agent for Applicants
Reg. No. 50,733

American Home Products Corporation
Patent Law Department
Five Giralda Farms
Madison, NJ 07940-0874
Tel. No. (732) 274-4843